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3
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PATENT

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In re Application of:
Austin M. Long, et al.

Serial No.: **10/077,174**

Filed: **February 15, 2002**

Title: **PROCESS AND SYSTEM FOR
DETERMINING CORRELATION OF
PUBLIC AND PRIVATE MARKETS AND
RISK OF PRIVATE MARKETS**

Group Art Unit: **Unknown**

Examiner: **Unknown**

Atty. Dkt. No.: **ALI515/4-3**

**CERTIFICATE OF MAILING
37 C.F.R 1.8**

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231, on the date below:

May 2, 2002
Date

Andrew G. DiNovo



RESPONSE TO NOTICE TO FILE MISSING PARTS

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application dated March 7, 2002, a copy of which is enclosed herewith, Applicant claims small entity status under 37 CFR 1.27. Also in response to the Notice, there are enclosed herewith:

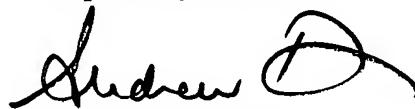
- (a) Declaration executed on behalf of Austin M. Long, III and Craig J. Nickels; and
- (b) Our check in the amount of \$540.00 to cover the basic filing fee (\$370), Assignment Recordation Fee (\$40) and surcharge for late filing (\$130).

Additionally, enclosed is an Assignment document and cover sheet together with an Election Under 37 C.F.R. §§ 3.71 and 3.73 and Power of Attorney.

If the check is inadvertently omitted, or should any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Assistant Commissioner is authorized to deduct or credit said fees from or to Vinson & Elkins L.L.P. Deposit Account No. 22-0365/ALI515/4-3.

Please date stamp and return the accompanying postcard to evidence receipt of these documents.

Respectfully submitted,



Andrew G. DiNovo
Reg. No. 40,115
Attorney for Applicant

Vinson & Elkins L.L.P.
2300 First City Tower
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Date: May 2, 2002

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/077,174	02/15/2002	Austin M. Long III	ALI515/4-3/10000

CONFIRMATION NO. 9524

FORMALITIES LETTER



OC00000007598593

Timothy S. Corder
VINSON & ELKINS LLP
2300 First City Tower
1001 Fannin
Austin, TX 77002-6760

Date Mailed: 03/07/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

05/13/2002 TGEDAMU1 00000051 10077174

FILED UNDER 37 CFR 1.53(b)

02 FC:201
03 FC:205

370.00 OP
65.00 OP

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 870.

Repln. Ref: 05/13/2002 TGEDAMU1 0010221800
DAB:220365 Name/Number:10077174
FC: 704

\$65.00 A copy of this notice **MUST** be returned with the reply.

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE